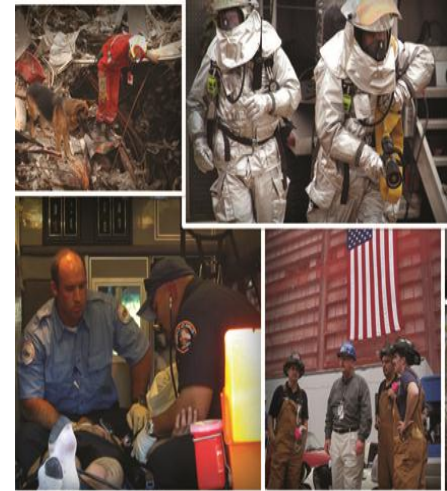


SAFETY Act

Building Applications for Service-Based Technologies

26 September 2013



Office of SAFETY Act Implementation (OSAI)
DHS S&T



**Homeland
Security**

Science and Technology



Webinar Content

SAFETY Act

- Brief Overview of the Act
- Security of SAFETY Act Materials

Service Sector

- Definitions
- Specific Challenges

Preparation of Applications:

The 4 P's

- Process
- Procedure
- People
- Performance

Case Studies

- Lessons Learned from Previous Applications

Resources

- Additional Information and Contact Details

The SAFETY Act

- The Support Anti-terrorism by Fostering Effective Technologies Act of 2002 (SAFETY Act) was enacted as part of the Homeland Security Act of 2002 (Title VIII, Subtitle G).
- Intended to facilitate the development and deployment of ***Anti-Terrorism Technologies*** by creating systems of “risk and litigation management”.
- Only applies if the Secretary of Homeland Security declares that an act is an Act of Terrorism for purposes of section 865(2) of the SAFETY Act.



Certified



Designated



DT&E Designated

SAFETY Act Security Online



The Web site is certified and accredited by the DHS Office of the Chief Information Officer (CIO) indicating compliance with security protocols/requirements.

All users sign Conflict of Interest/Non-disclosure Agreement statements per application.



Services and the SAFETY Act

A Technology for SAFETY Act purposes includes a range of services, such as design, consulting, engineering, software development, software integration, program management and integration, threat assessments, vulnerability studies, and other analyses relevant to homeland security may each be deemed a Technology under the SAFETY Act.



TIP: Identify the Anti-Terrorism component of your Technology.

Services and the SAFETY Act

Most service-based technologies are not static but are typically customized on customer requirements. This requires an examination of the baseline service and the processes used in customization.

Service-based technologies are evaluated using a process-based evaluation methodology.



TIP: Identify the baseline (standard) and the customizable aspects of your Technology.

Technology Descriptions

Technology = What You Sell/Provide/Offer

- Tell us what you do or what you provide
- Keep it simple
- Focus on the anti-terrorism aspects



Submittal Tips:

- Scope matters
- Document repeatable processes and procedures
- Be clear and concise



One Application, Many Technologies



The SAFETY Act application kit is designed for broad range of technologies including services.

Carefully consider how the questions apply to your service.

TIP: Use the pre-application process to inform us about your service and to get help aligning the application kit with your technology.

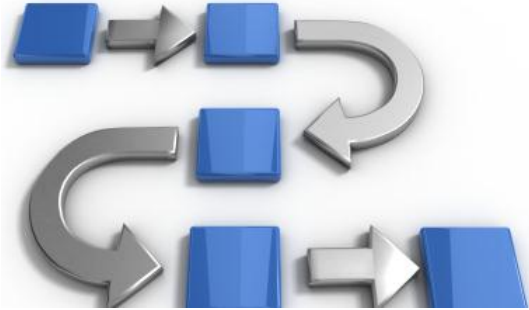
Preparing An Application



- How did you develop your service? (What was the process?)
- How do you provide your service? (What is the procedure?)
- Who provides the service? (Who are the people?)
- How do you monitor and improve effectiveness? (What are the measures of performance?)



The 4 P's



Process



Procedure



People

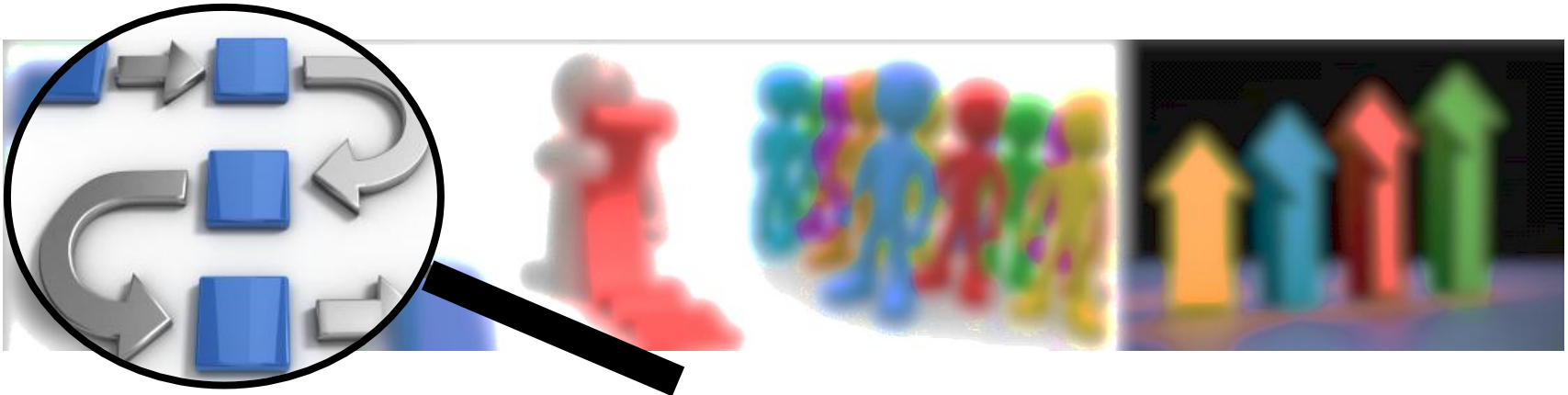


Performance

TIP: Develop your application responses by focusing on the 4 P's of your Technology and Company.



P1 - Process



Process

Procedure

People

Performance

- What process did you go through to develop your Technology?
- What resources did you use in that process?
- How do you continue to use that process to refine or update your Technology as time goes by?

Types of Process Information

Development

- Discussions of best practices, standards of practice, government or private policy/specifications incorporated
- Information on business expertise
- Strategic planning
- Cost-benefit or needs analysis
- Site/vulnerability/threat assessments

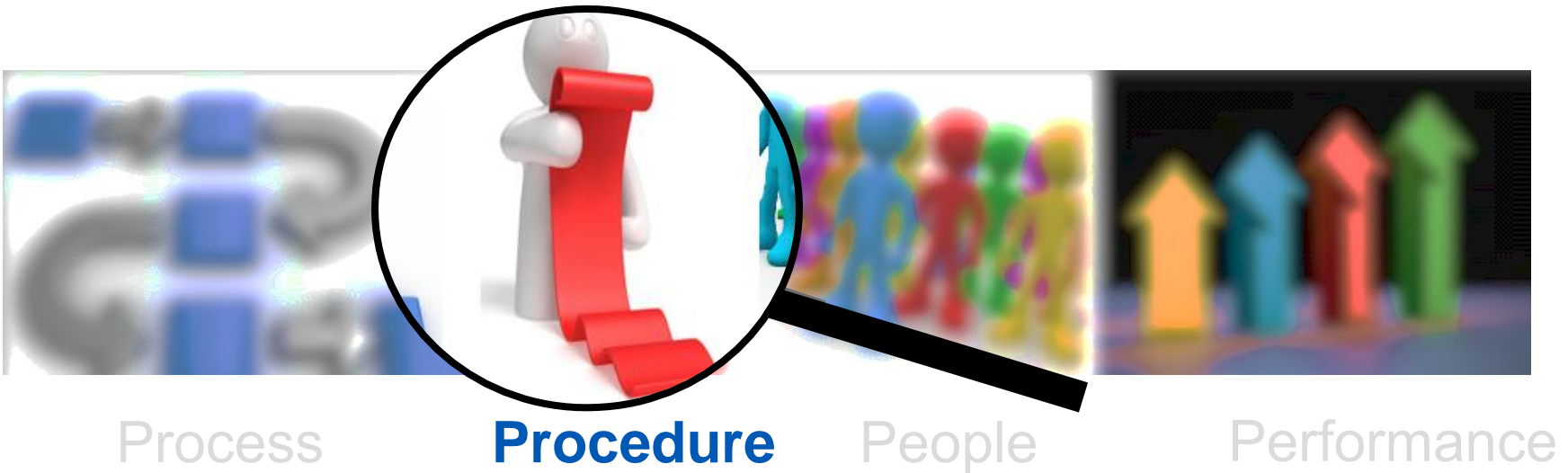


Internal documents

- Quality assurance plans
- Periodic review schedule



P2 – Procedure

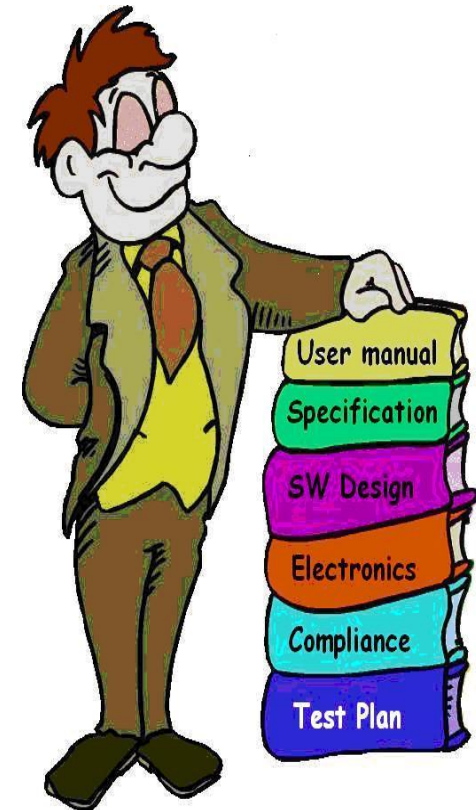


Provide details on how you implement your Technology, specific steps that administer the work to be performed, and rules and regulations that are followed.

Types of Procedure Documentation

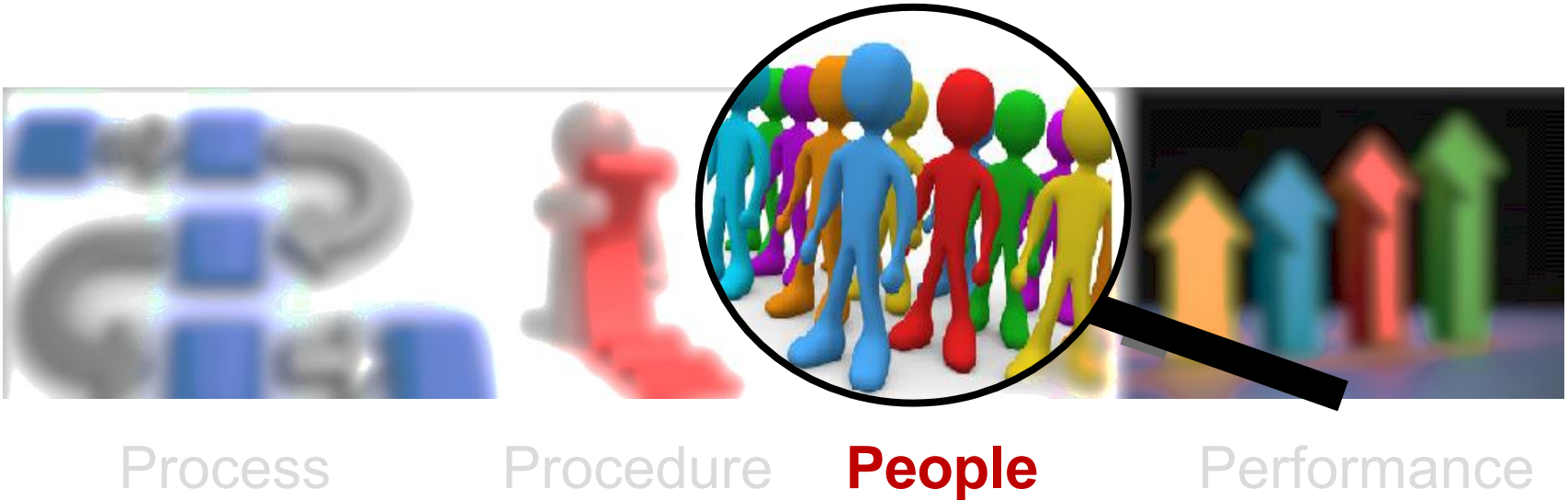
We determine repeatable aspects of your Technology across deployments. Support both the administrative and operational aspects of your service by submitting:

- Statement of Work
- Post orders
- Specific anti-terrorism procedures
- Manuals (maintenance, operations)
- Plans (Security Plan, Emergency Action Plan, Evacuation Plan)





P3 — People



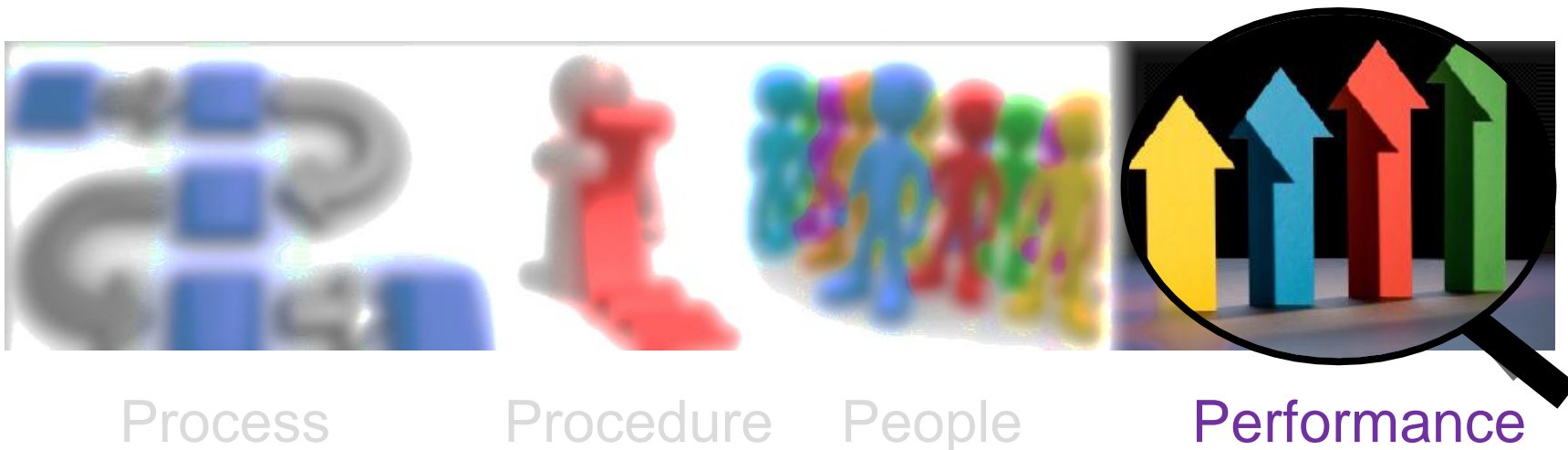
The personnel that run your organization and provide your services are the heart of your Technology. Provide documents supporting your hiring, vetting, screening, and management oversight process of your personnel.

Types of “People” Documentation

- Organizational charts
- Experience of staff and core experts
- Evidence that supports employee expertise
- Hiring and vetting procedures for employees
- Information on personnel record keeping and tracking databases
- Training
 - Emphasize anti-terrorism training
 - Training curriculum, handouts, policy, tests



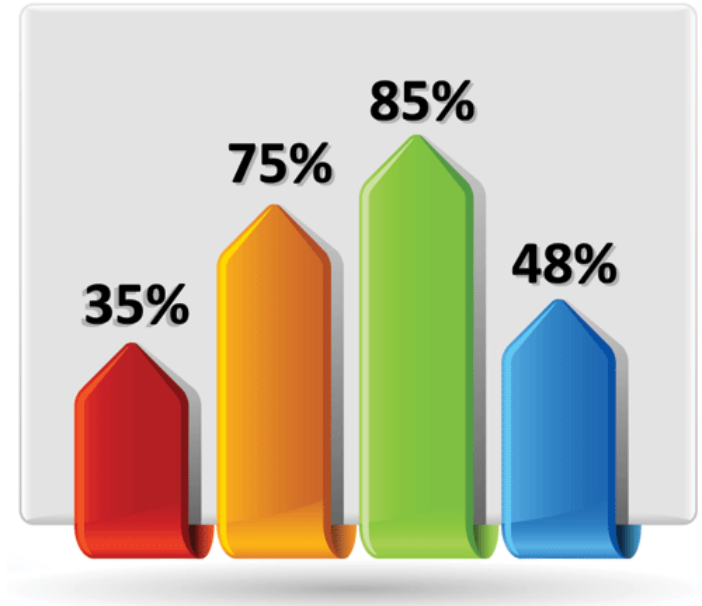
P4 – How do You Perform?



The performance of service-based technologies is based on operational performance focusing on the history of the service, relevant domain expertise, practitioner expertise, internal and external audits, results of any exercises, and customer input.

Types of Performance Information

- Information from deployments
- Anecdotal reports, daily incident reports, testimonials
- Penetration tests (“Red Team”), independent evaluations, and post mortem exercise reports
- Contractor performance assessment reports
- Client or third-party inspection reports
- Quality Assurance reports and corrective actions



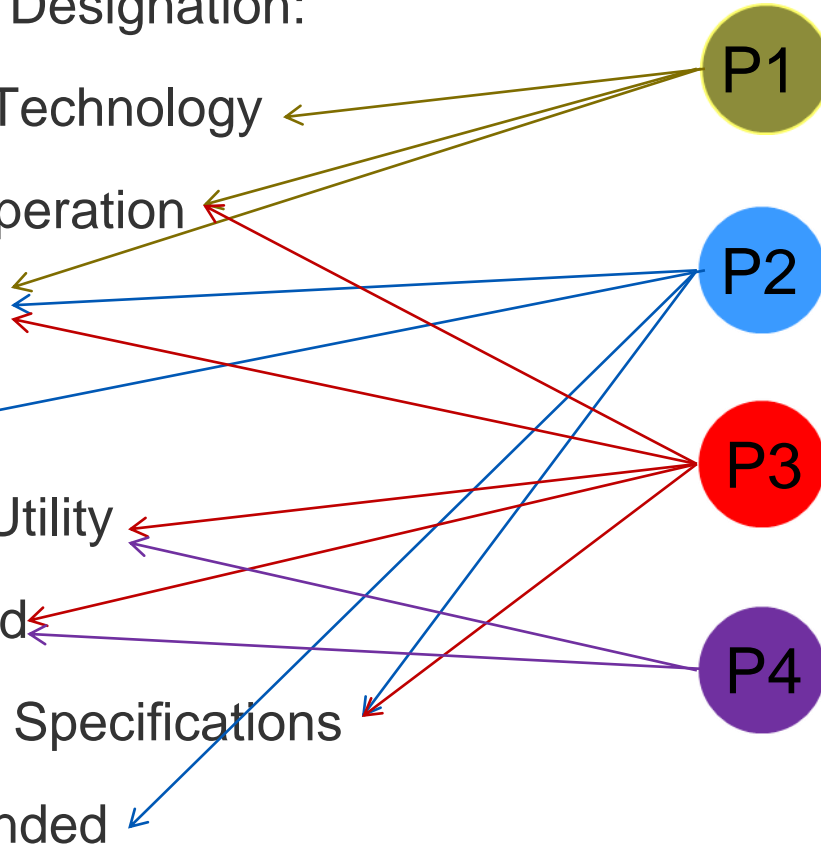
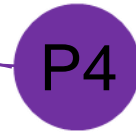
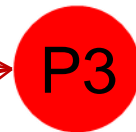


Mapping the 4 P's

P1 = Process, **P2 = Procedure**, **P3 = People**, **P4 = Performance**

Application for SAFETY Act Designation:

- D9 – Description of Your Technology
- D10 – Deployment and Operation
- D11 – Readiness for Sale
- D12 - Magnitude of Risk
- D14 – Effectiveness and Utility
- C4 – Performs as Intended
- C5 – Conforms to Seller's Specifications
- C6 – Safe for Use as Intended



Pre-Application Process



Pre-applications are great ways to reduce the likelihood of submitting an incomplete application.

Pre-applications allow you to explain your Technology beforehand and start the process of drafting your Technology definition.



Developing a Technology Definition



Anti-Terrorism **VS.** Counter-Terrorism

Going Above & Beyond **VS.** Meeting Basic Standards



Demonstrate Effectiveness



The mere absence of a terrorism incident is not, by itself, sufficient to demonstrate performance.

Providing examples of performance under emergency/operational conditions can support your Technology.



Program Adjustments



A successful business has performance improvement plan. Documentation of how performance issues were addressed can support quality assurance and management oversight.



Expertise and Training



Prior training and expertise of select individuals does not prove continued qualifications of all employees.

Training and hiring policies for all positions/required skillsets should be documented.



Quality Assurance



Quality Assurance checks and processes should be separate from actual operations and free of inherent conflicts of interest.

Demonstrate an independent Quality Assurance structure with policies for implementing corrective actions.

Insurance and Financials

- Insurance: for each insurance policy that responds to third-party liability claims arising from your service's alleged failure during an act of terrorism, provide a response to Item D16.1 (Application Form), including references to footnotes
- Financials: Income Statement, Balance Sheet, and Statement of Cash Flows for the most recently completed fiscal year.
 - The financial statements should be at the same corporate level as the primary insured on your insurance policy(s)
- Technology revenue: 3 years of projected Technology-specific revenue, including the current fiscal year
 - If the service is deployed for internal purposes only (non-revenue generating), cost data needs to be submitted
 - Cost data should include fully burdened labor costs and any overhead costs, including training, certification (if applicable), management, etc

Certified Cargo Screening Facilities

TSA Certificate	One for each location
Insurance information (Each policy that responds to third-party liability claims arising from an act of terrorism)	Respond to Item D16.1 (Application Form), including references to footnotes
Financials (For the most recently completed fiscal year, at the same corporate level as the primary insured on the insurance policies)	Income Statement, Statement Of Cash Flows, Balance Sheet
Technology Revenue Projections (or cost if deployed internally/non-revenue generating)	For each of the next 3 fiscal years, including the current fiscal year



Additional Information

Online: www.safetyact.gov

- FAQs
- Help Topics
- Step-by-Step User Guide
- SAFETY Act 101 Briefing
- SAFETY Act Fact Sheet
- Help Desk: Online form for questions requiring an individual response

Email: SAFETYActHelpDesk@dhs.gov

Toll-Free: 1-866-788-9318



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